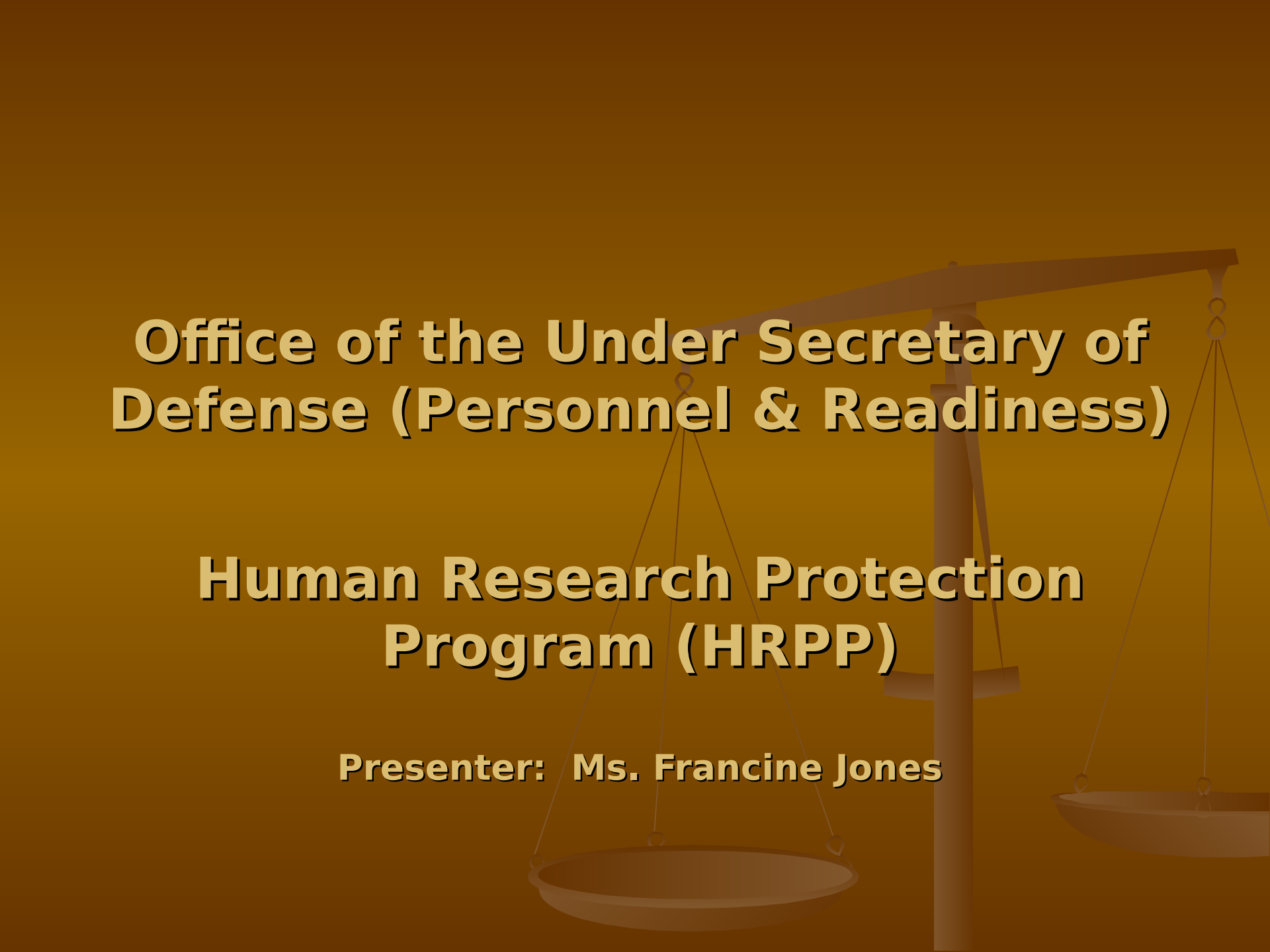




Office of the Under Secretary of Defense (Personnel & Readiness)

Human Research Protection Program (HRPP)

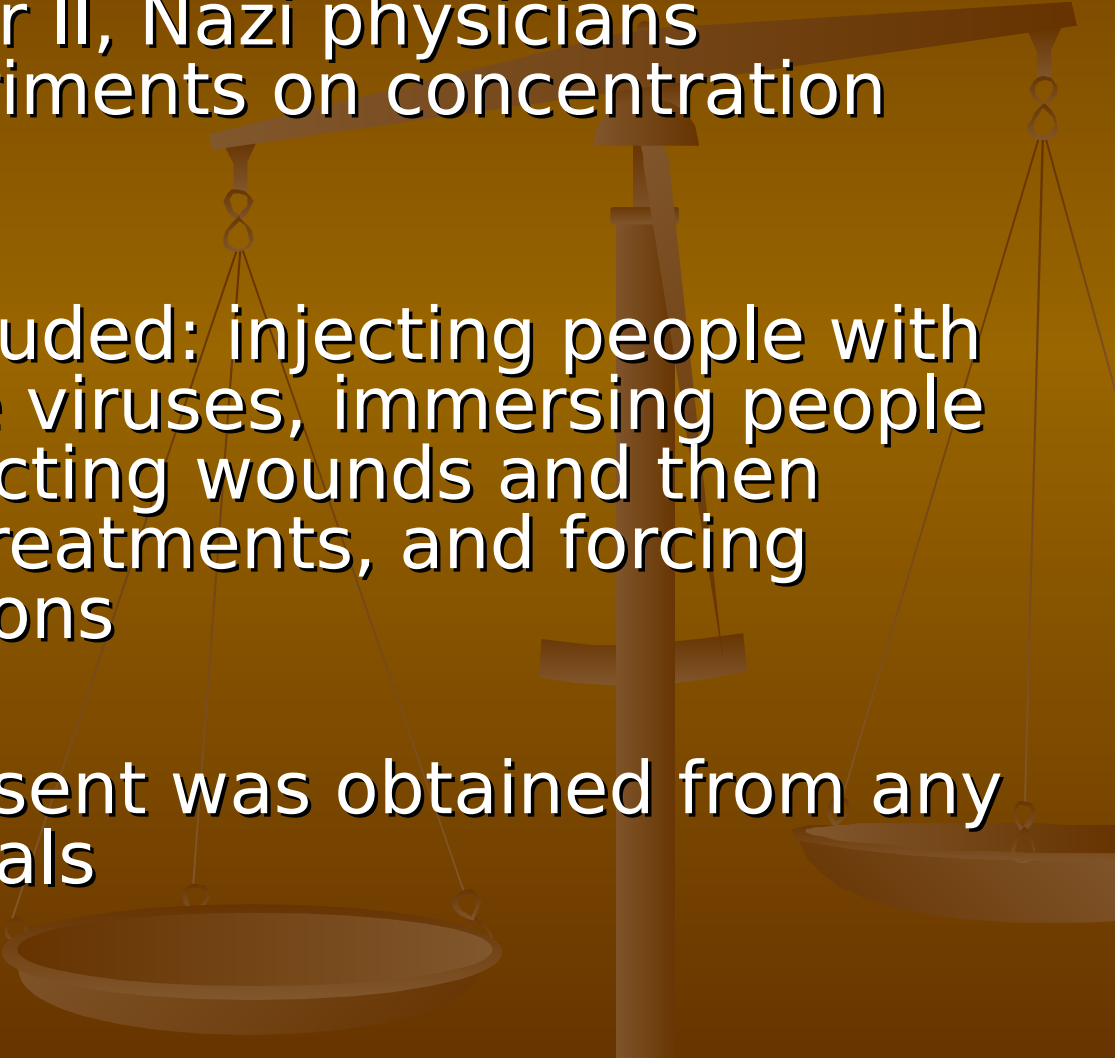
Presenter: Ms. Francine Jones



Human Subject Research

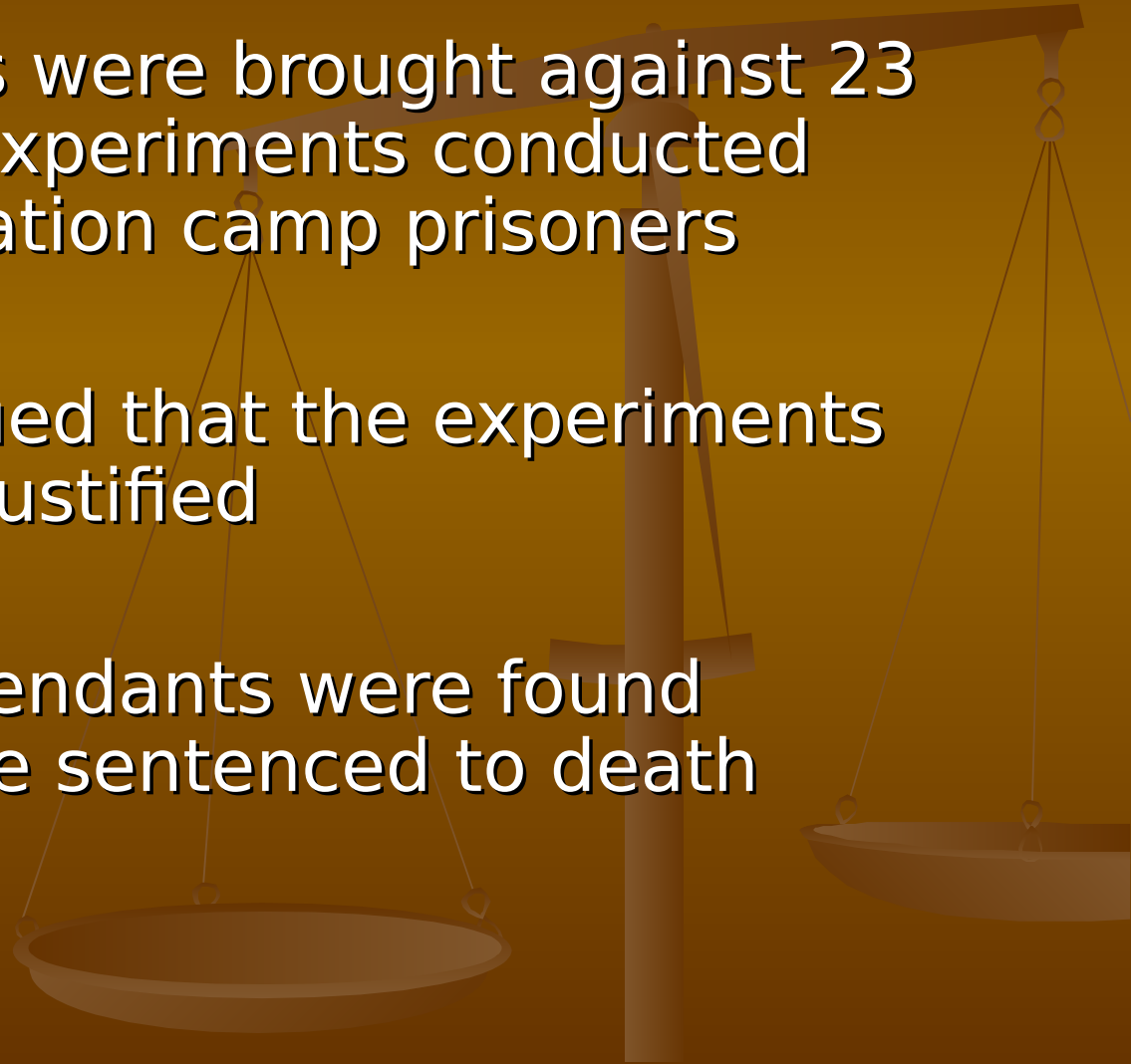
Historical Background

The Nazi Experiments

- During World War II, Nazi physicians conducted experiments on concentration camp prisoners
 - Experiments included: injecting people with gasoline and live viruses, immersing people in ice water, inflicting wounds and then testing various treatments, and forcing ingestion of poisons
 - No informed consent was obtained from any of these individuals
- 

Nuremberg Trial

- In 1946, charges were brought against 23 defendants for experiments conducted on the concentration camp prisoners
- Defendants argued that the experiments were medically justified
- 15 of the 23 defendants were found guilty and 7 were sentenced to death



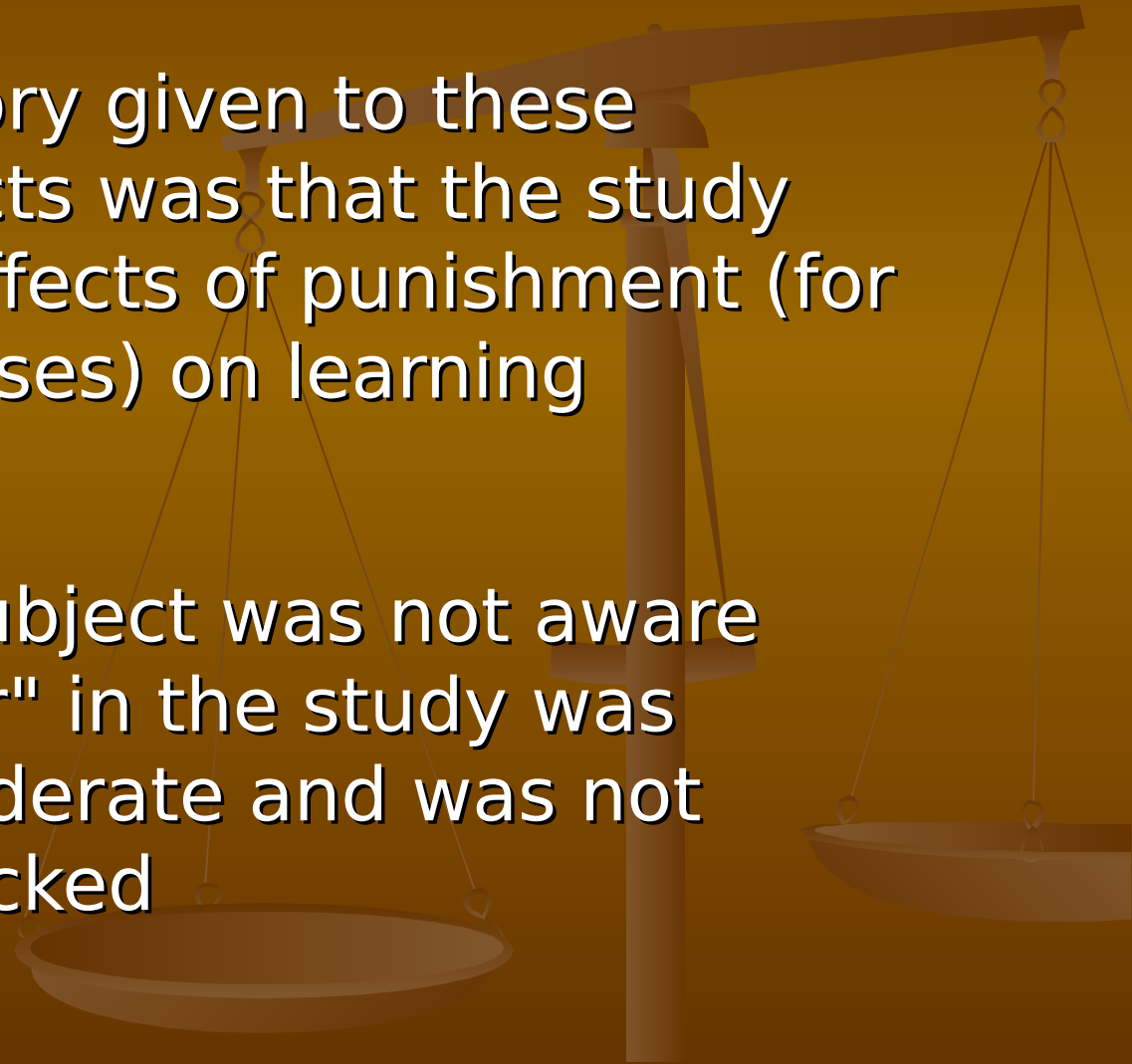
Milgram Study

- In 1963, Stanley Milgram, a social psychologist at Yale University, conducted a study focusing on the conflict between obedience to authority and personal conscience
- In the study, "teachers" (who were actually the unknowing subjects of the experiment) were recruited by Milgram and asked to administer an electric shock of increasing intensity to a "learner" for each mistake he made during the study

Milgram Study

(cont.)

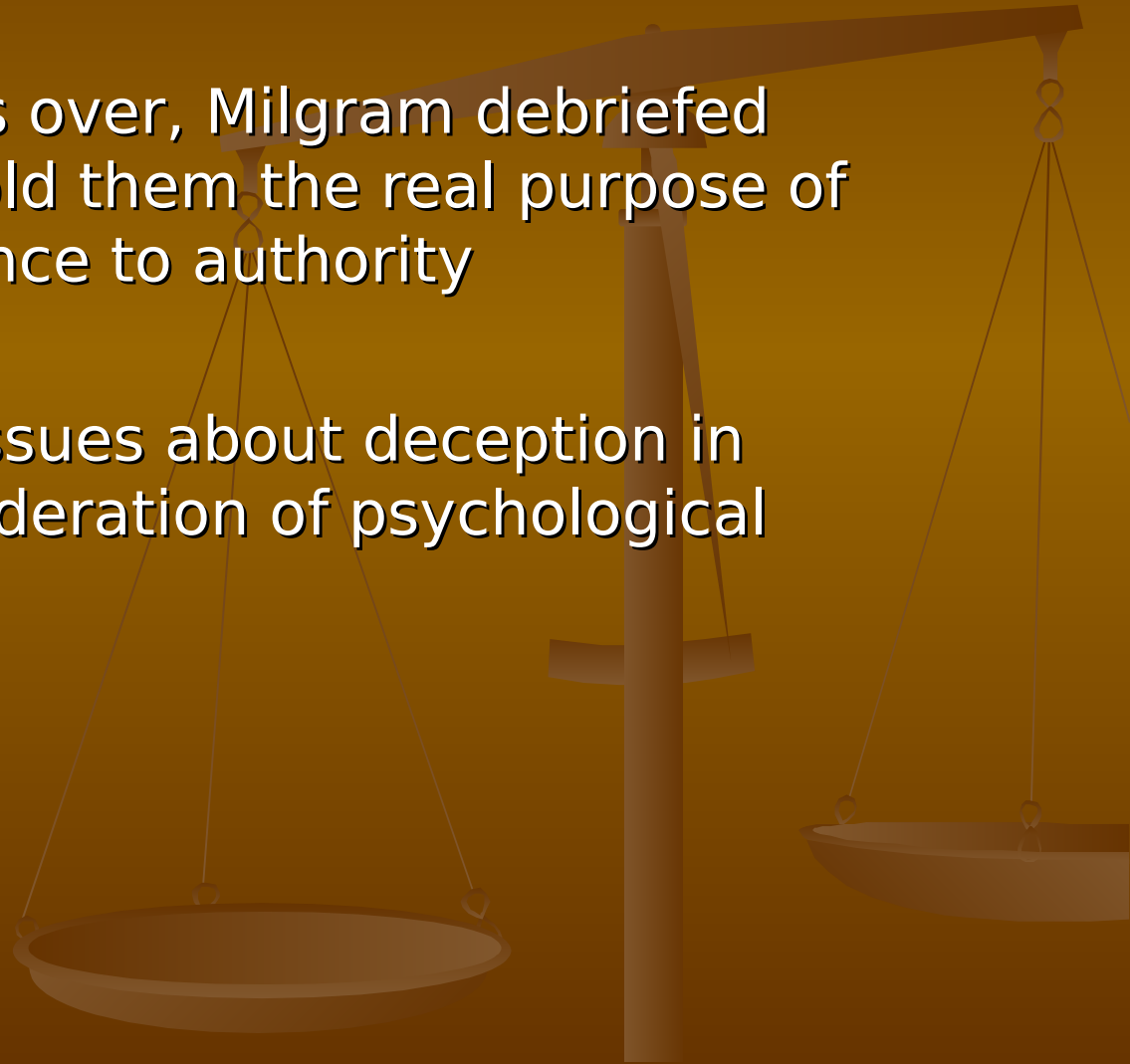
- The fictitious story given to these "teacher" subjects was that the study was exploring effects of punishment (for incorrect responses) on learning behavior
- The "teacher" subject was not aware that the "learner" in the study was actually a confederate and was not really being shocked



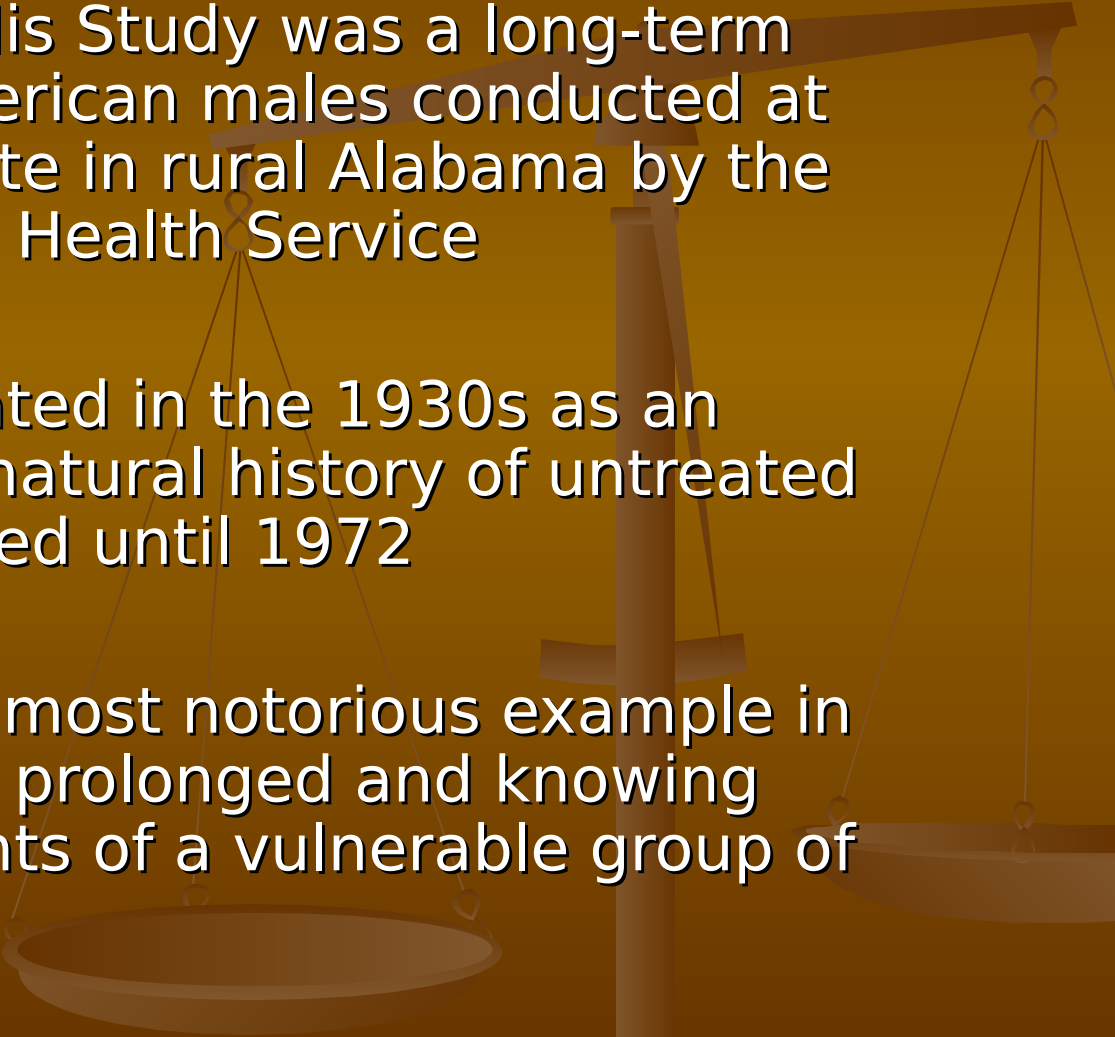
Milgram Study

(cont.)

- After the study was over, Milgram debriefed the subjects and told them the real purpose of the study – obedience to authority
- This study raised issues about deception in research and consideration of psychological harms in research



Tuskegee Syphilis Study

- The Tuskegee Syphilis Study was a long-term study of African American males conducted at the Tuskegee Institute in rural Alabama by the United States Public Health Service
 - This study was initiated in the 1930s as an examination of the natural history of untreated syphilis and continued until 1972
 - This is probably the most notorious example in the United States of prolonged and knowing violations of the rights of a vulnerable group of research subjects
- 

Tuskegee Syphilis Study

(cont.)

- More than 400 African American men with syphilis participated, and about 200 men without syphilis served as controls
- The men were recruited without informed consent and, in fact, were misinformed that some of the procedures done in the interest of research (e.g., spinal taps) were actually special “free treatment” - the men who had syphilis were not informed about their disease

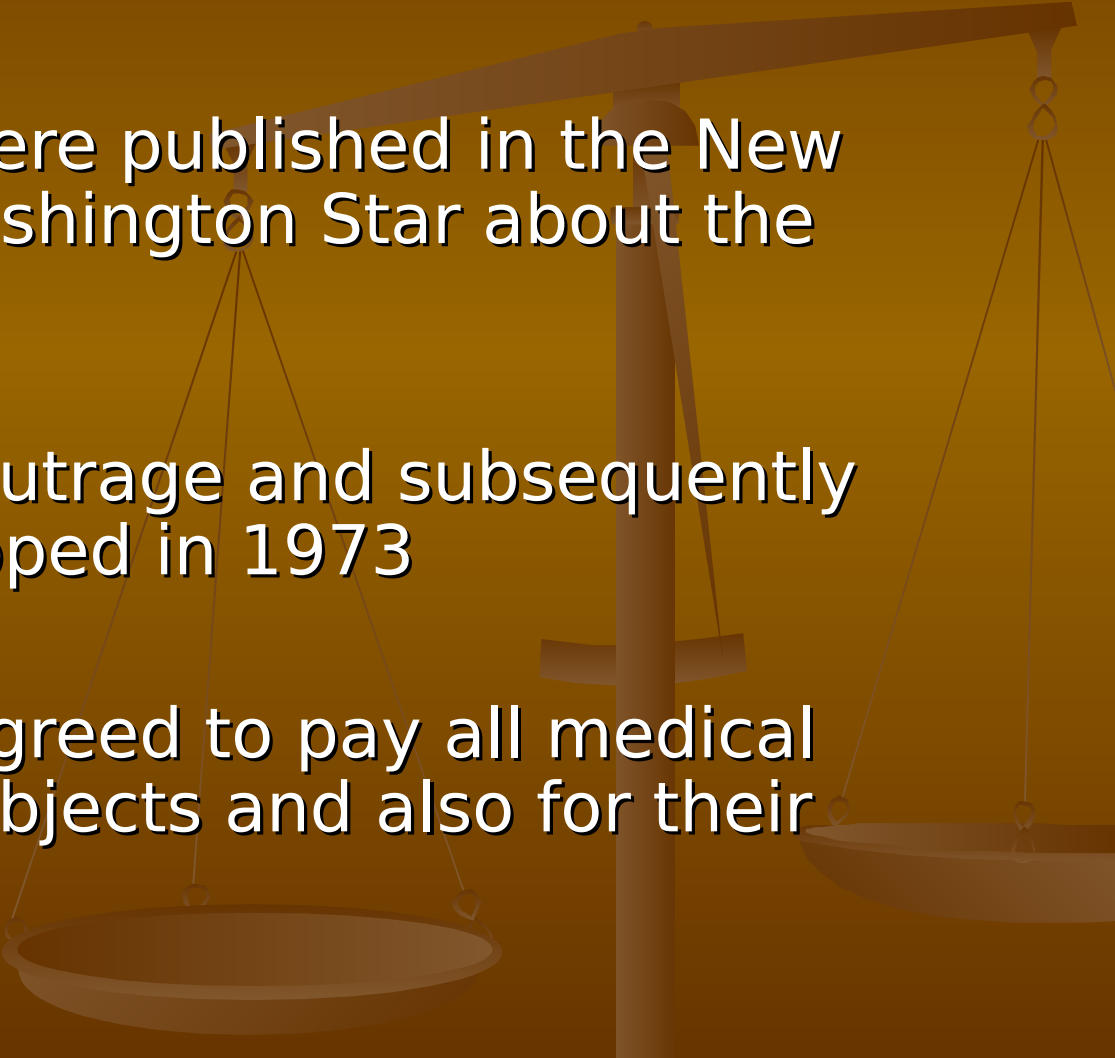
Tuskegee Syphilis Study

(cont.)

- By 1936, it was apparent that many more infected men than controls had developed complications, and 10 years later, a report of the study indicated that the death rate among those with syphilis was about twice as high as it was among the controls
- In the 1940s, penicillin was found to be effective in the treatment of syphilis, but the men in the study were neither informed nor treated with the antibiotic

Tuskegee Syphilis Study

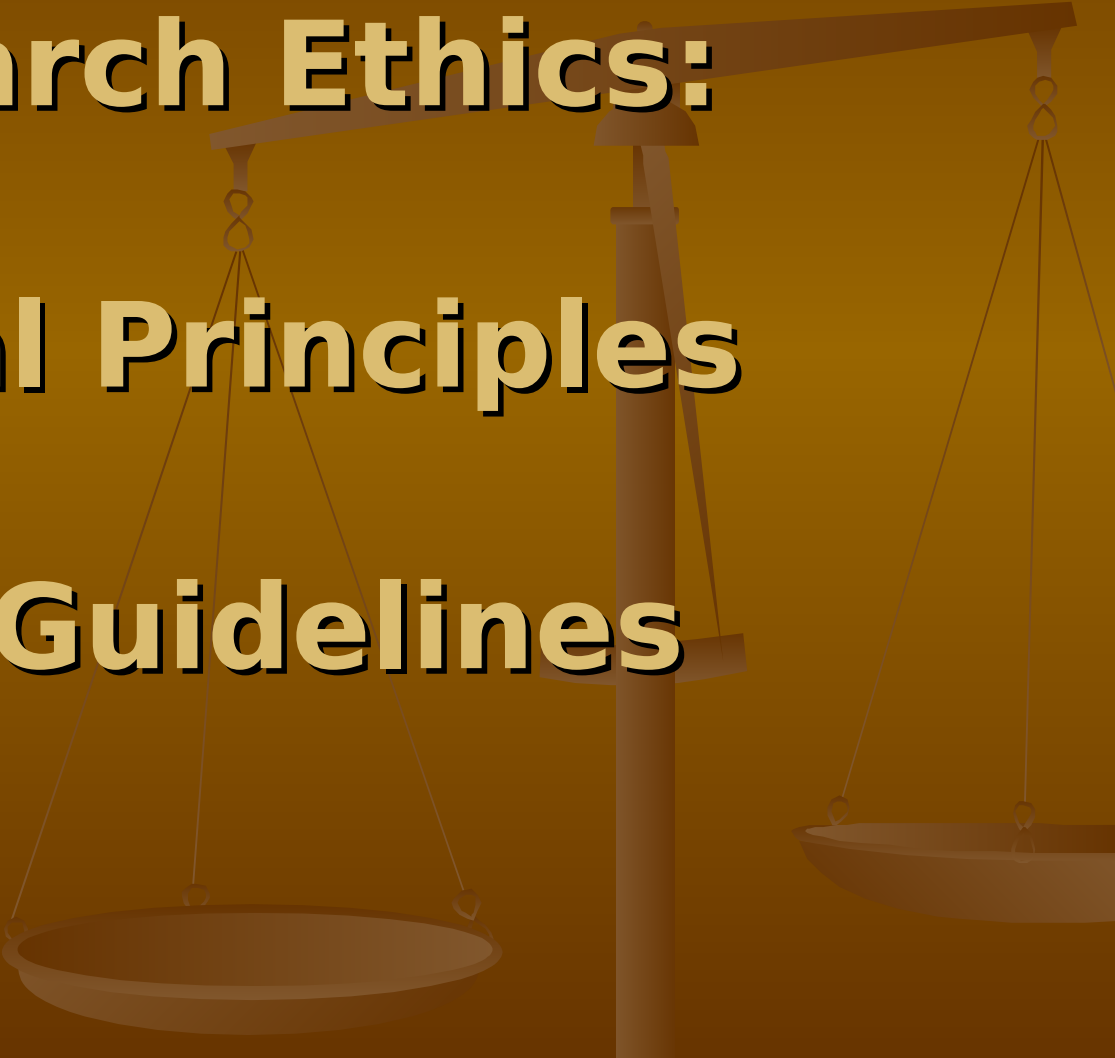
(cont.)

- In 1972, articles were published in the New York Times and Washington Star about the Syphilis Study
 - There was public outrage and subsequently the study was stopped in 1973
 - The government agreed to pay all medical expenses for all subjects and also for their wives and children
- 

Tuskegee Syphilis Study

(cont.)

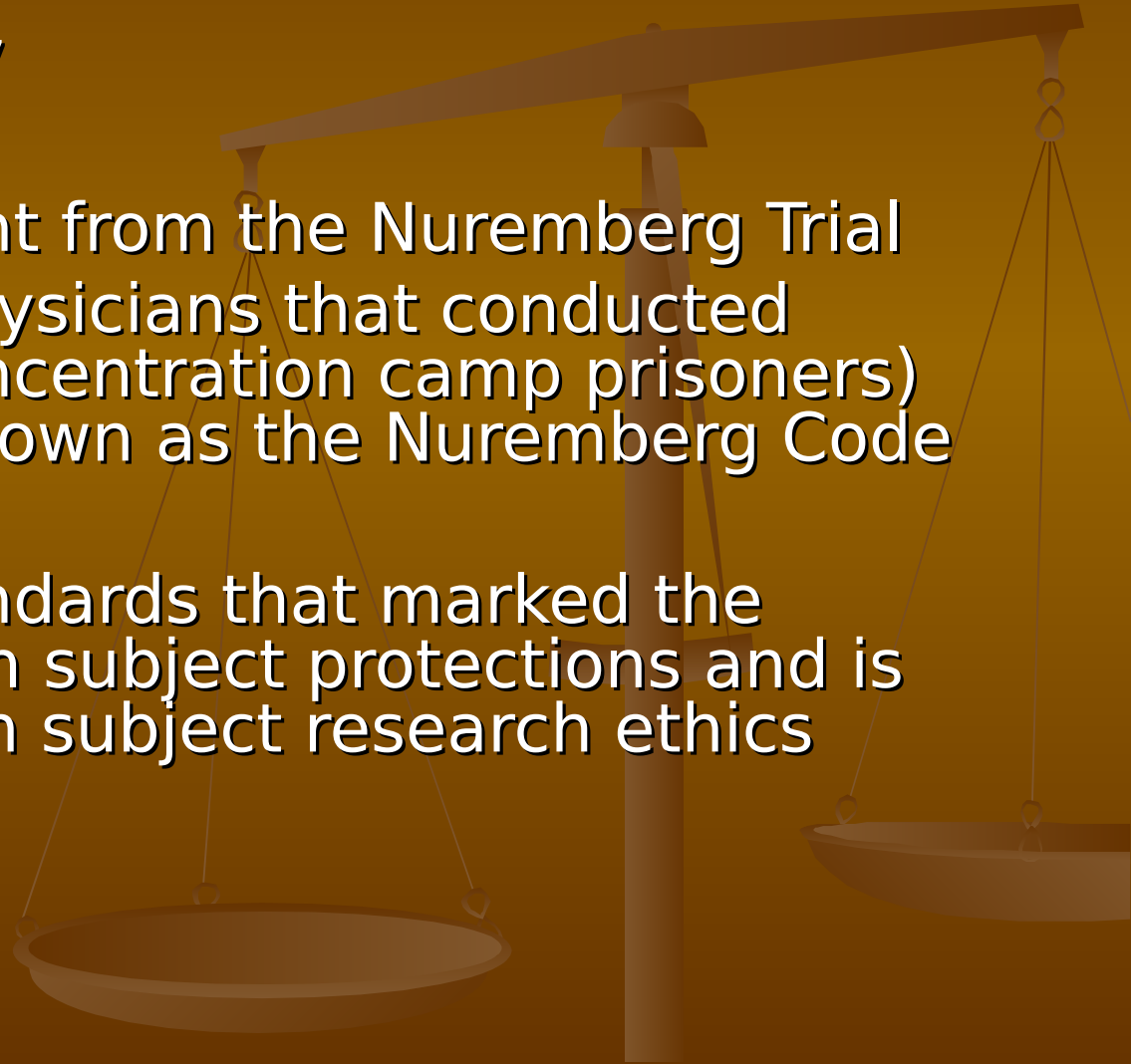
- In 1974, Congress passed the National Research Act which required regulations for protection of human subjects – including requirements for informed consent and review of research by IRBs
- In 1979, the Belmont Report was published by the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research (which was created by the Research Act)



Research Ethics: Ethical Principles and Guidelines

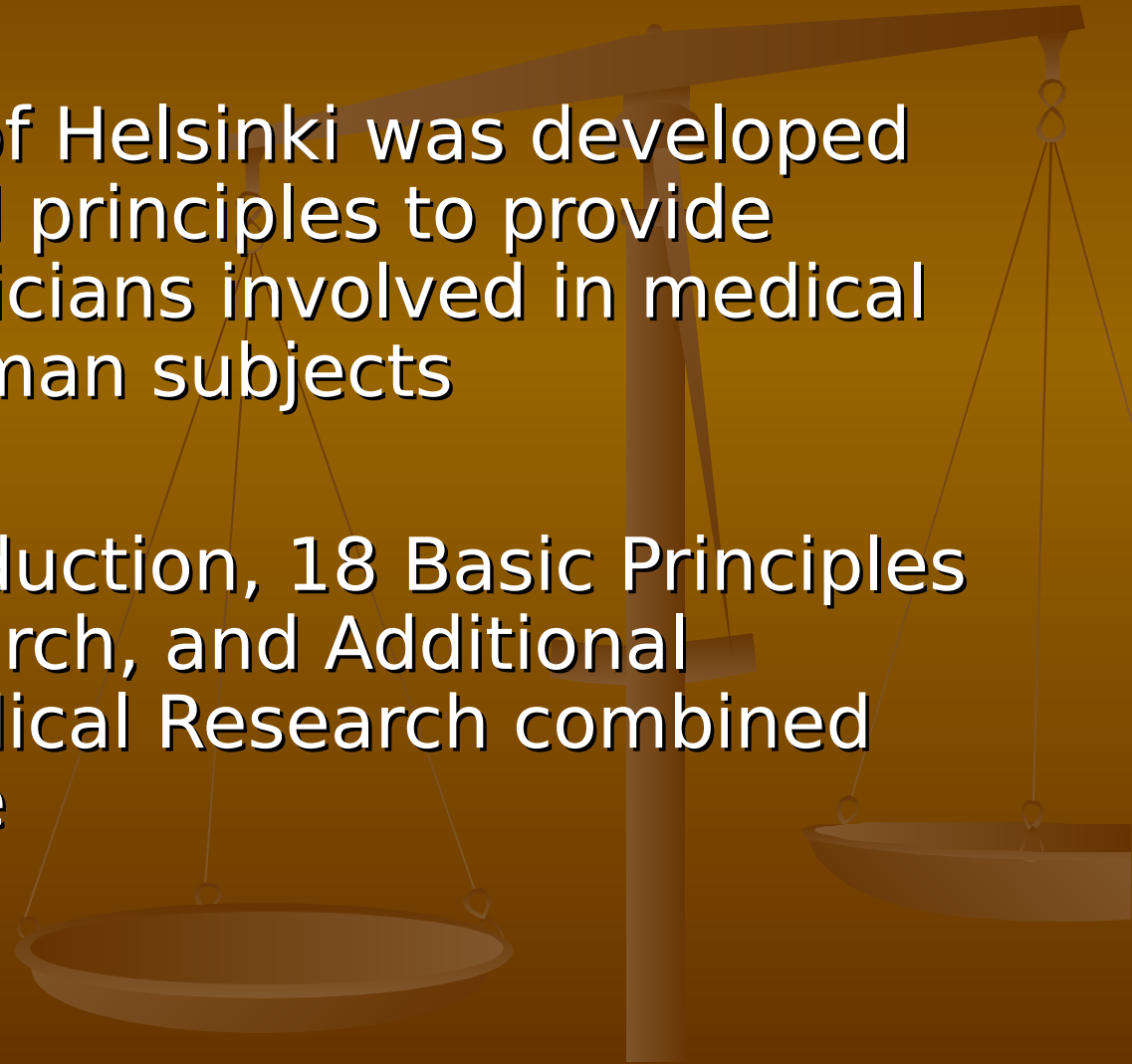
The Nuremberg Code

- Established in 1947
- Part of the judgment from the Nuremberg Trial (trial of the Nazi physicians that conducted experiments on concentration camp prisoners) included what is known as the Nuremberg Code
- It is a set of 10 standards that marked the beginning of human subject protections and is the basis for human subject research ethics



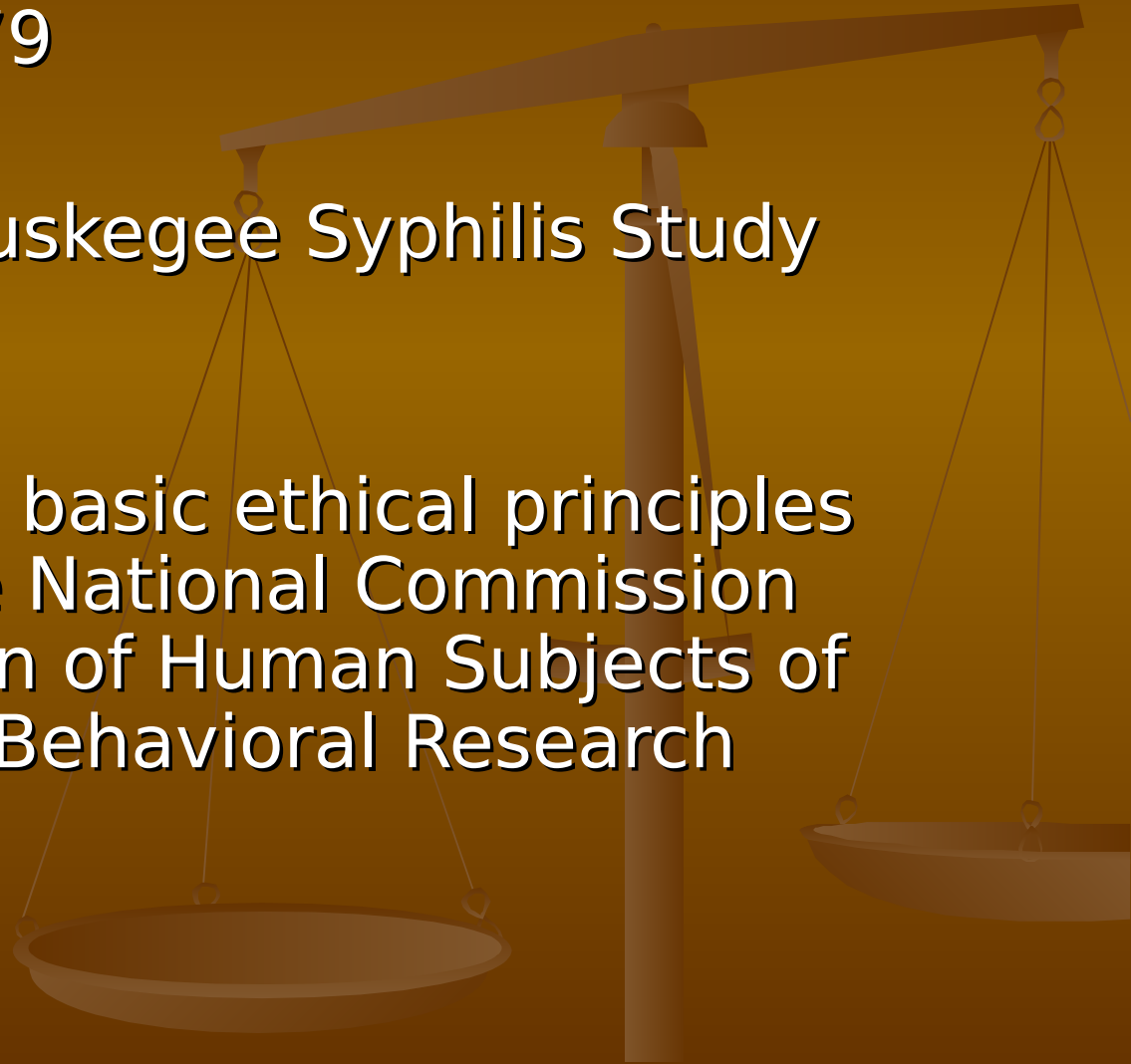
The Declaration of Helsinki

- The Declaration of Helsinki was developed as a set of ethical principles to provide guidance to physicians involved in medical research with human subjects
- Includes an Introduction, 18 Basic Principles for Medical Research, and Additional Principles for Medical Research combined with Medical Care



The Belmont Report

- Published in 1979
- A result of the Tuskegee Syphilis Study exposé
- Summarizes the basic ethical principles identified by the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research



Federal Regulations



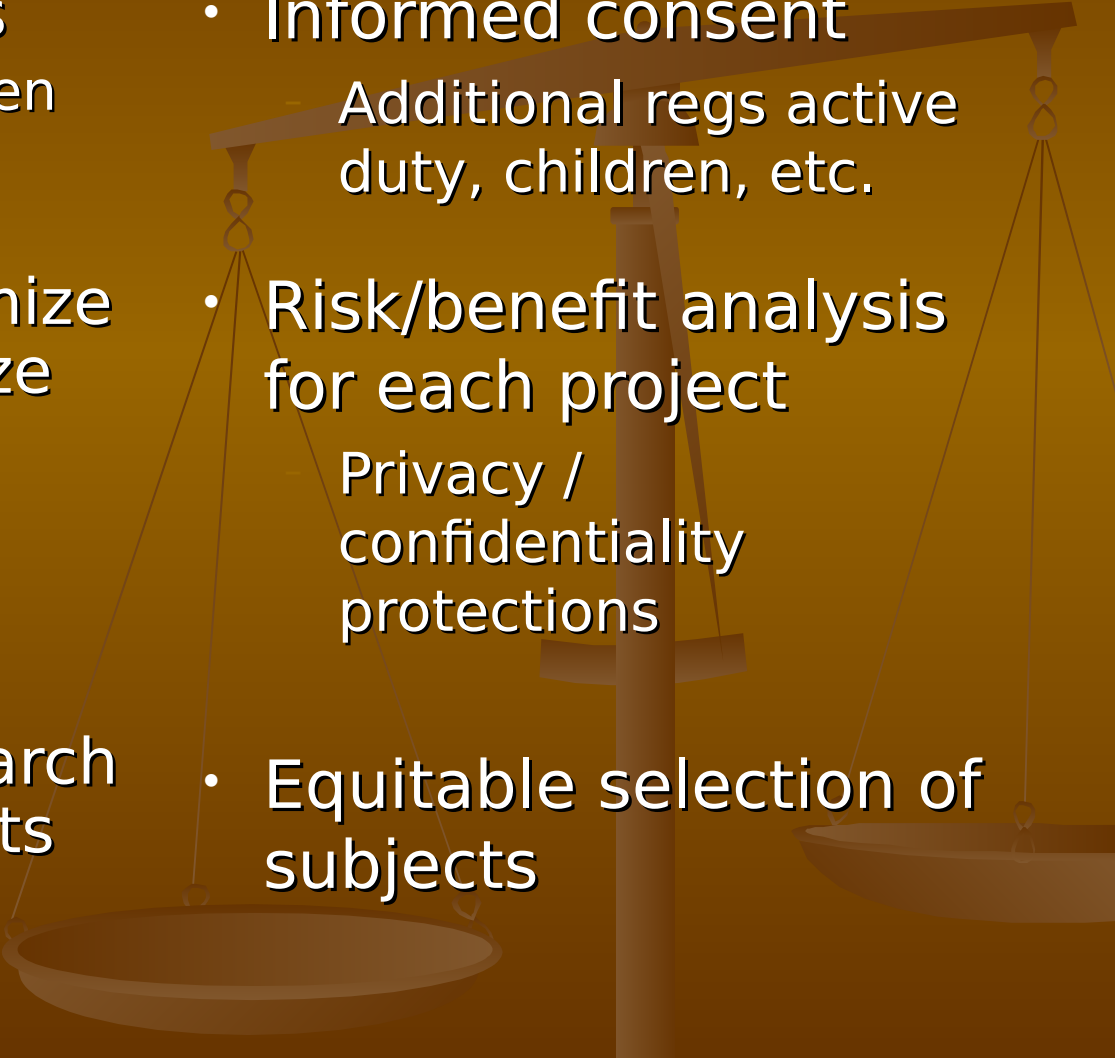
Overview of the Federal Requirements

- Two key ideas permeate the laws, regulations, and policies
 - Ethical guidelines must apply when humans are used as subjects in research
 - Commensurability
 - Level of risk to the subject commensurate with potential benefit to the subject
 - Level of review and oversight commensurate with the level of risk associated with the research

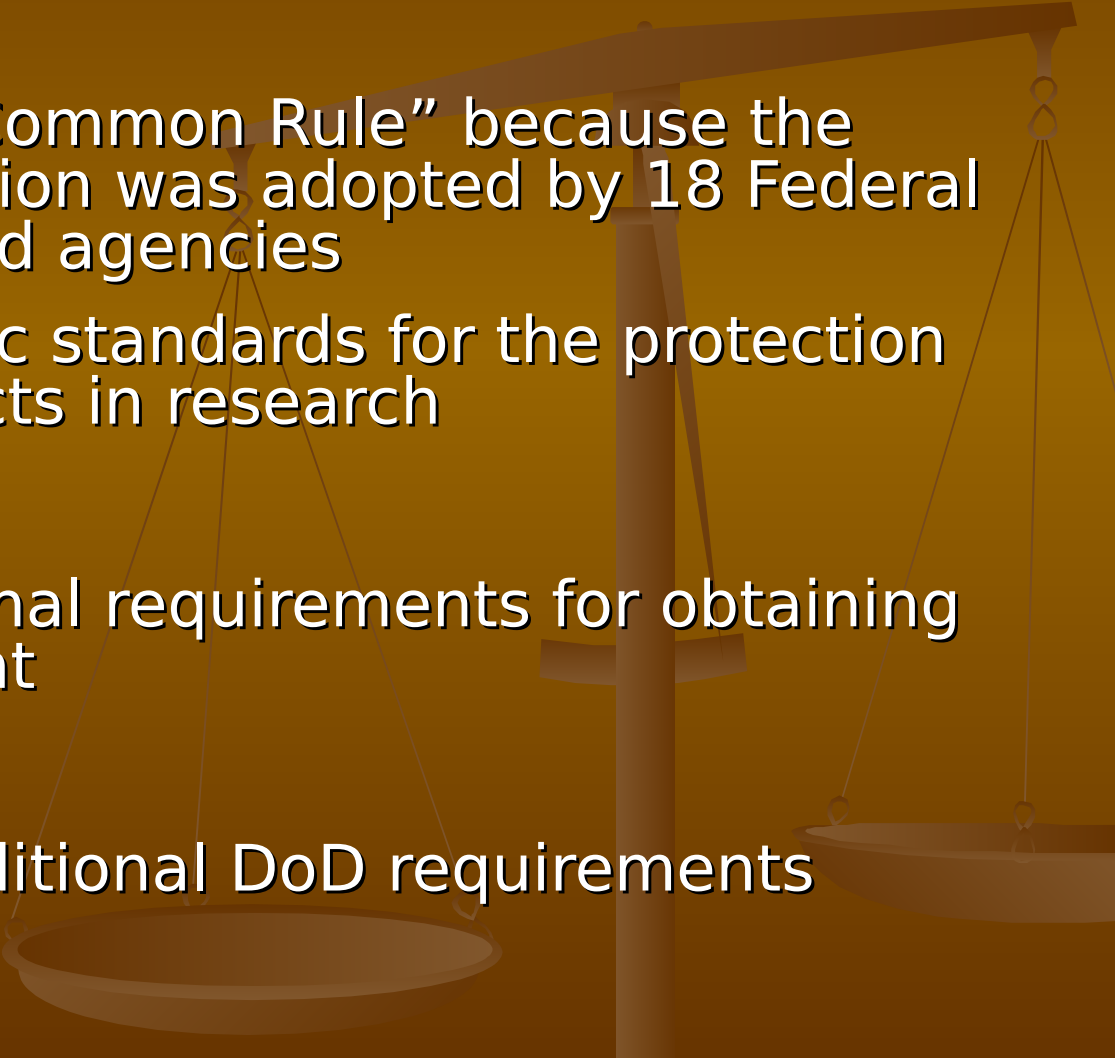
Code of Ethics

- National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research report, “Ethical Principles and Guidelines for the Protection of Human Subjects of Research.” April 18, 1979
 - Became known as the “Belmont Report.”
 - Identified three ethical principles that should be applied to all research involving human subjects
 - The three principles were codified into regulation in 1991

Ethical Principles | Regulation

- 
- Respect for Persons
 - Extra protection when reduced autonomy
 - Beneficence: Maximize benefit and minimize harm
 - Justice: equitable distribution of research burdens and benefits
 - Informed consent
 - Additional regs active duty, children, etc.
 - Risk/benefit analysis for each project
 - Privacy / confidentiality protections
 - Equitable selection of subjects

Laws, Regulations & Policies



- 32 CFR 219
 - Known as the “Common Rule” because the identical regulation was adopted by 18 Federal Departments and agencies
 - Established basic standards for the protection of human subjects in research
- 10 USC 980
 - Provides additional requirements for obtaining informed consent
- DoDD 3216.02
 - Summarizes additional DoD requirements

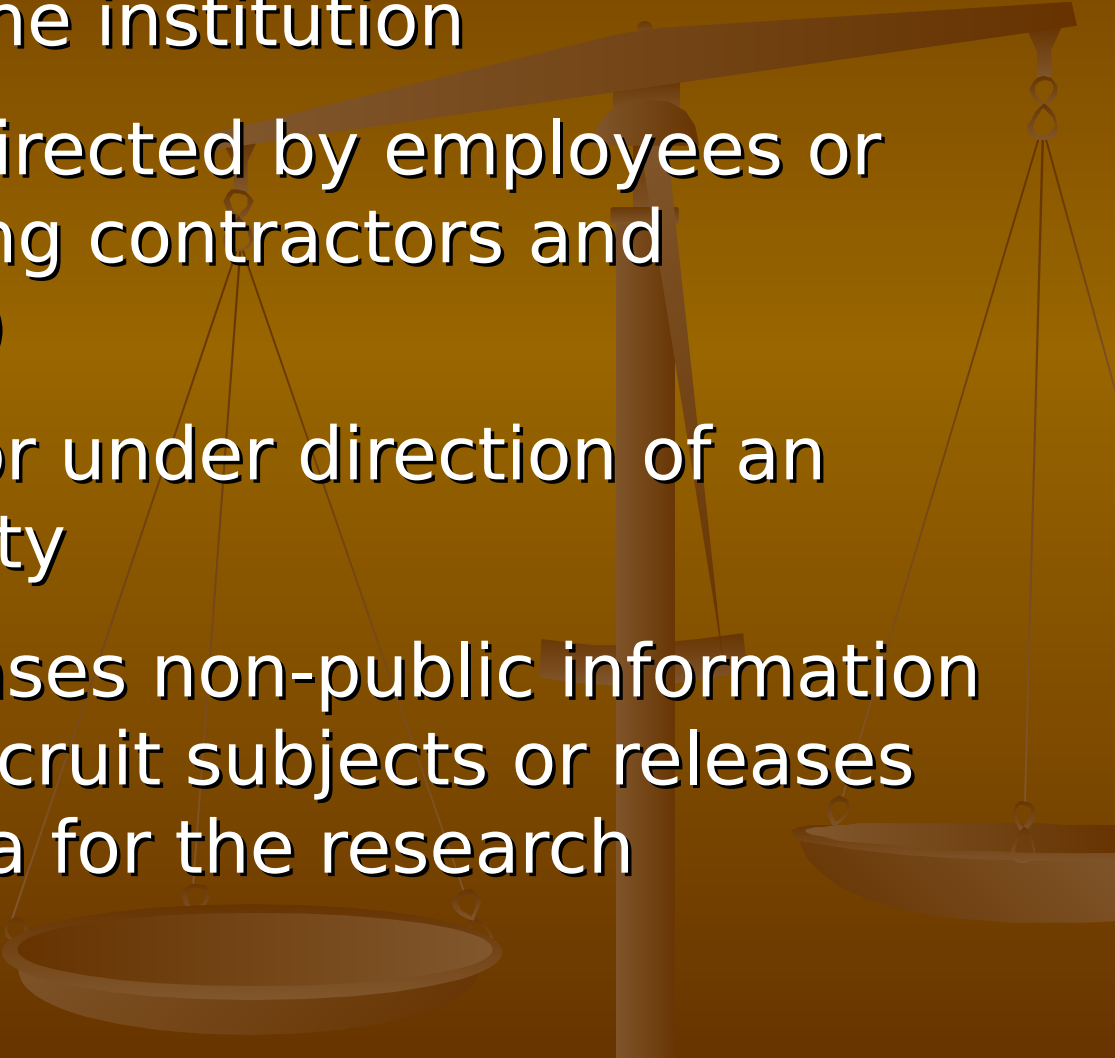
Definitions



Assurance

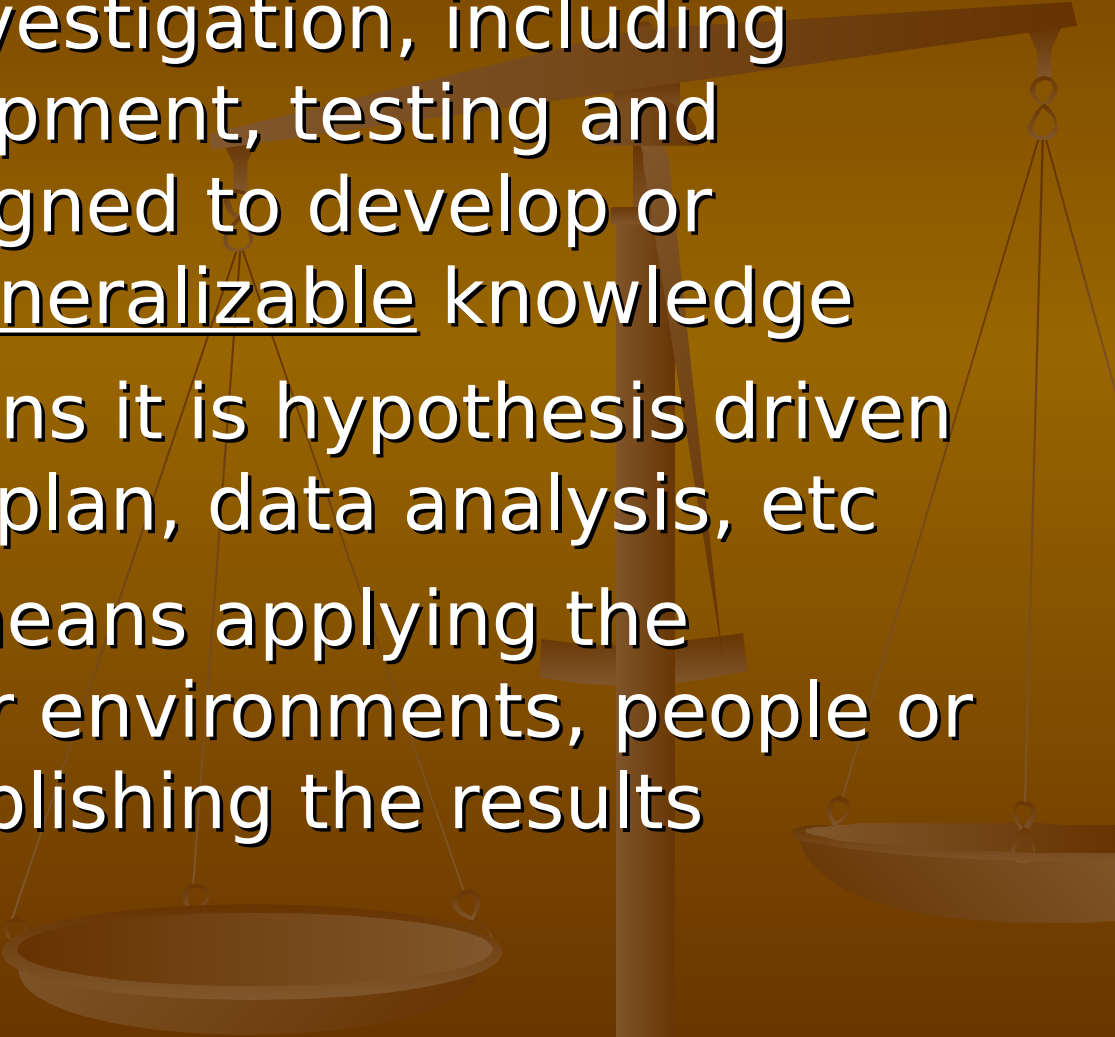
- Any institution engaged in federally funded or sponsored research involving human subjects, must have an Assurance
- An Assurance
 - documents the institution's commitment to comply with applicable laws, regulations, policies, and ethical guidelines
 - describes the institution's program for ensuring compliance with the above
 - identifies the Institutional Review Board(s), IRBs, used by the institution

Engaged

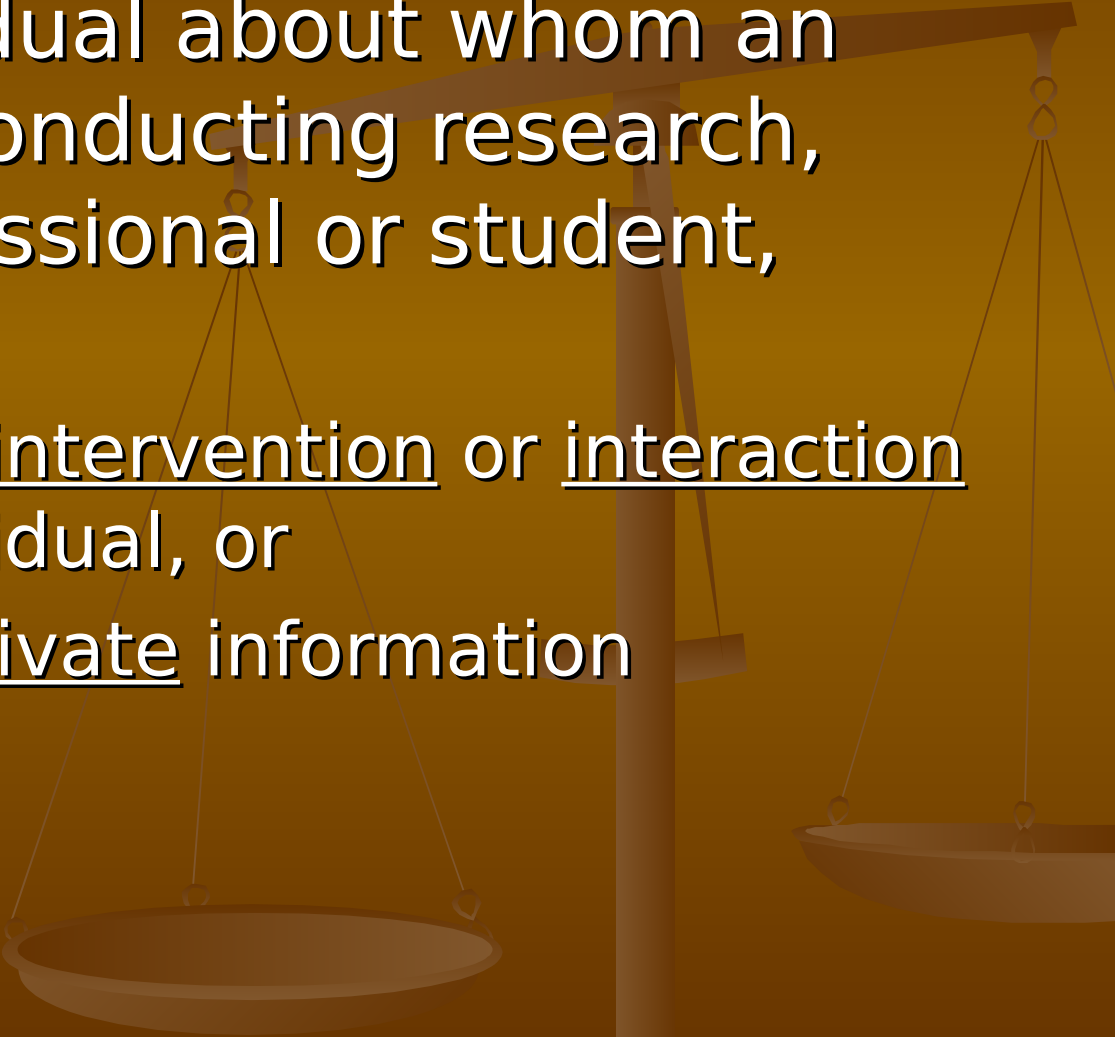


- Sponsored by the institution
- Conducted or directed by employees or agents (including contractors and subcontractors)
- Conducted by or under direction of an institution facility
- Institution releases non-public information to identify or recruit subjects or releases identifiable data for the research

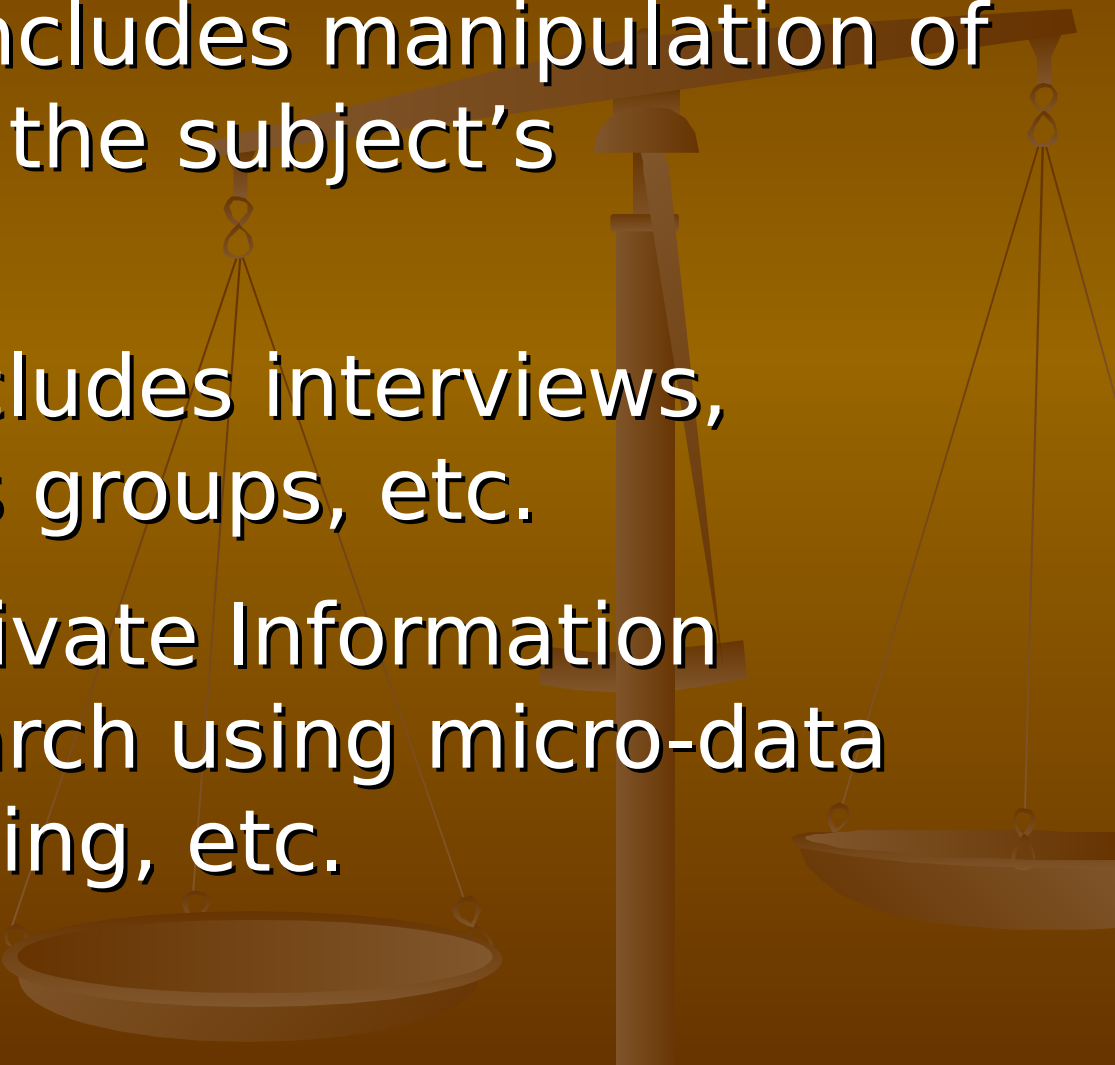
Research (32 CFR 219)

- A systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge
 - Systematic means it is hypothesis driven with a research plan, data analysis, etc
 - Generalizable means applying the findings to other environments, people or situations or publishing the results
- 

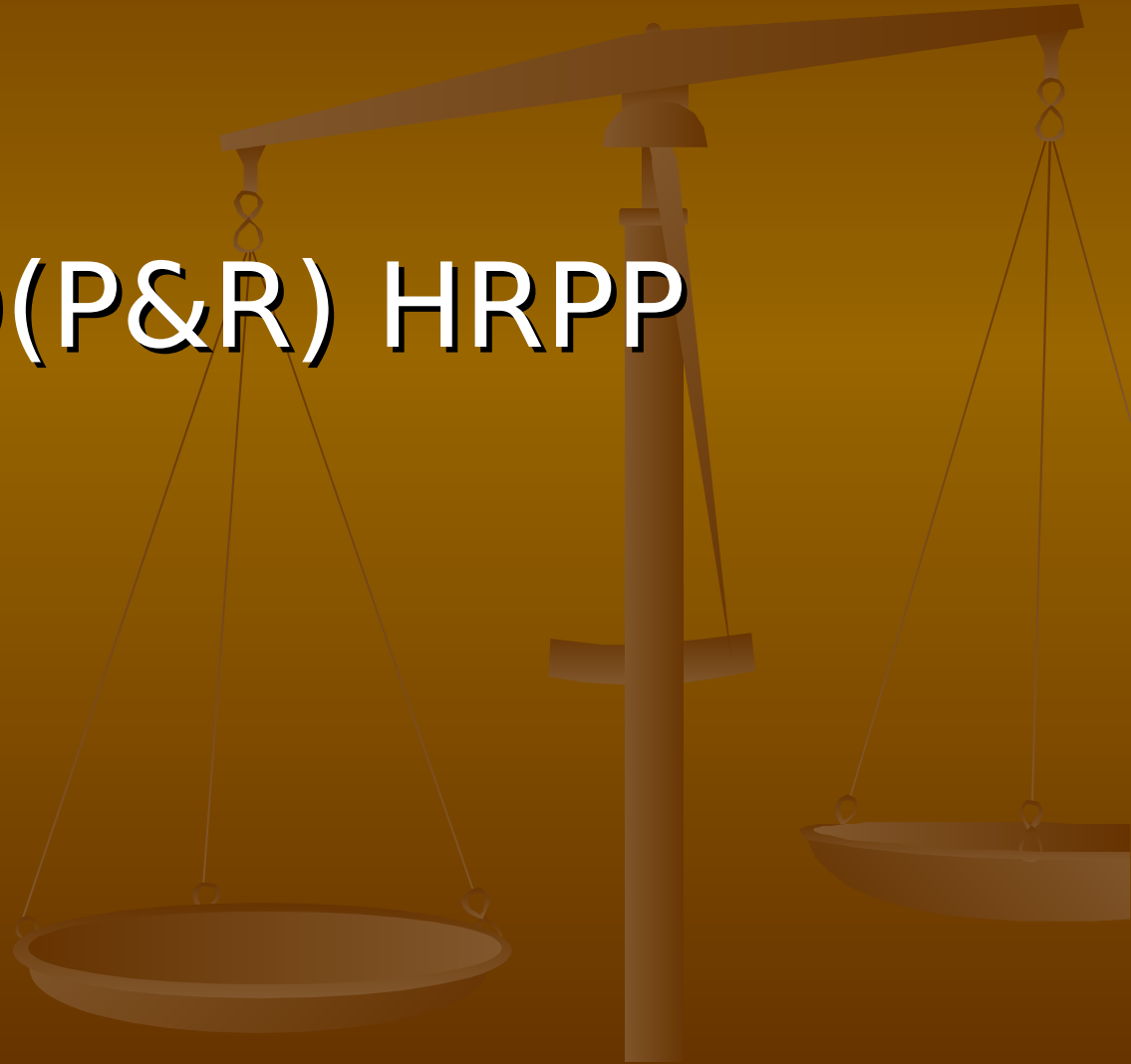
Human Subject (32 CFR 219)

- A living individual about whom an investigator conducting research, whether professional or student, obtains
 - data through intervention or interaction with the individual, or
 - identifiable private information
- 

Human Subjects + Research

- Intervention includes manipulation of the subject or the subject's environment
 - Interaction includes interviews, surveys, focus groups, etc.
 - Identifiable private Information includes research using micro-data files, data mining, etc.
- 

OUSD(P&R) HRPP



Exempt Determination Official (EDO)

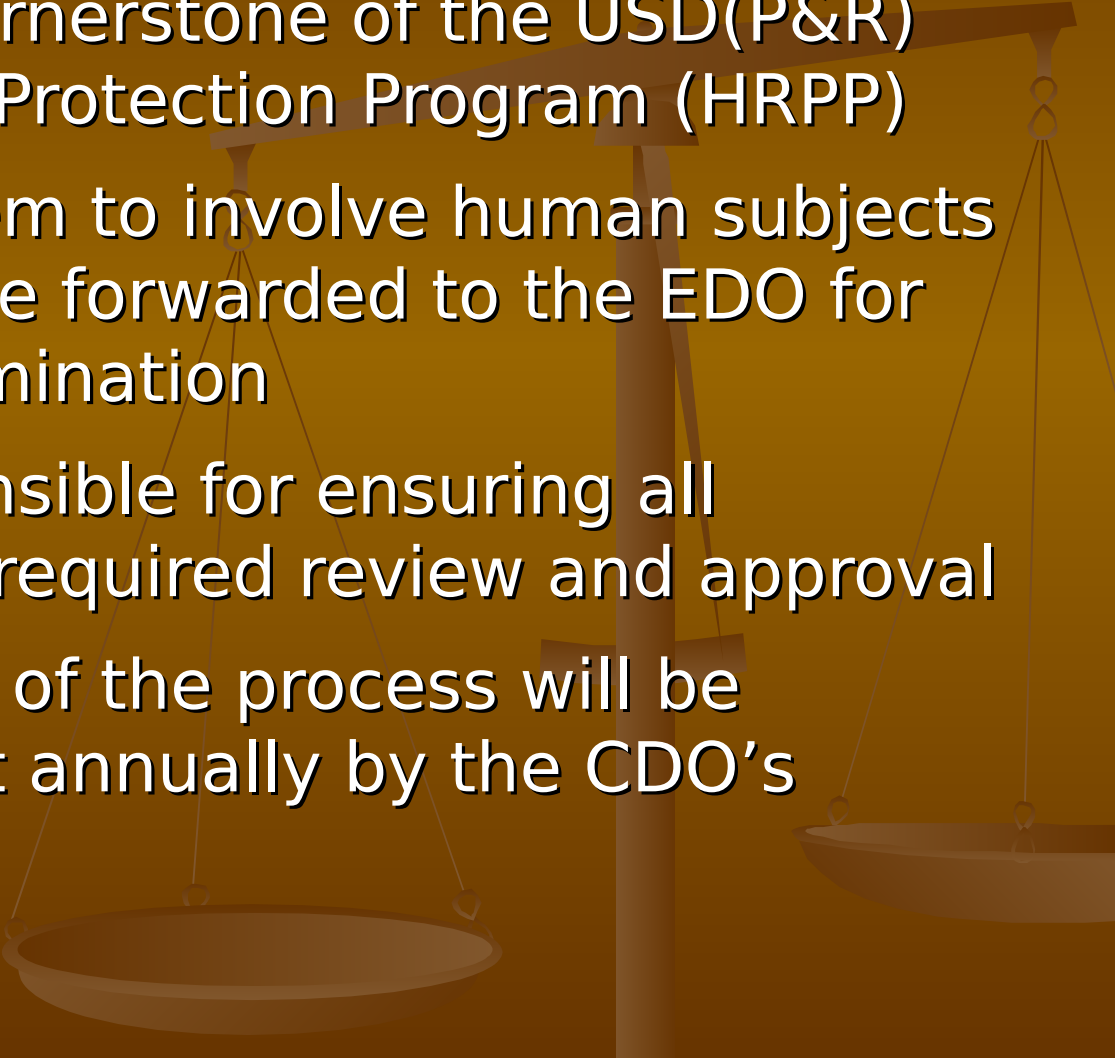
- An individual identified by the MPA institution
 - Knowledgeable about research
 - No vested interest in the research
 - Sufficient stature and authority
- EDOs determine what level and type of review each project needs and document the decision
- EDOs begin as EDO-in-training. Once proficient, they may make independent determinations
- EDO is local representative for the Component Designated Official (CDO)
 - Responsible for local oversight

Component Designated Oversight Office

- Responsible for
 - Training EDOs and Researchers
 - Establishing overarching policies and procedures
 - Conducting secondary, headquarters level, reviews of research as needed
 - Responding to noncompliance issues
 - Conducting Assurance Compliance Reviews
 - Coordinating P&R response during our annual component review



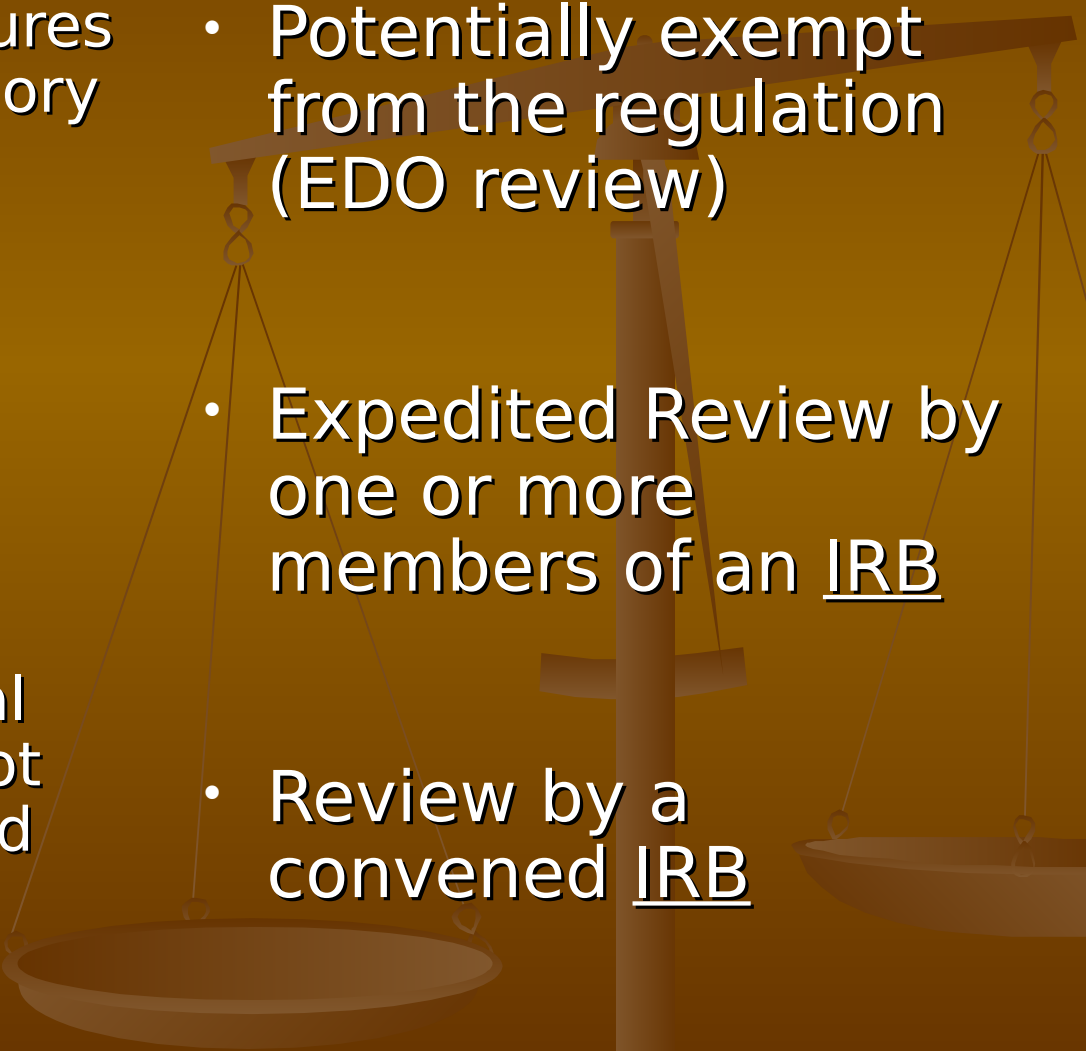
Summary

- The EDO is the cornerstone of the USD(P&R) Human Research Protection Program (HRPP)
 - Activities that seem to involve human subjects research should be forwarded to the EDO for review and determination
 - The EDO is responsible for ensuring all activities receive required review and approval
 - The effectiveness of the process will be evaluated at least annually by the CDO's Oversight Office
- 

Review of Research



Commensurability

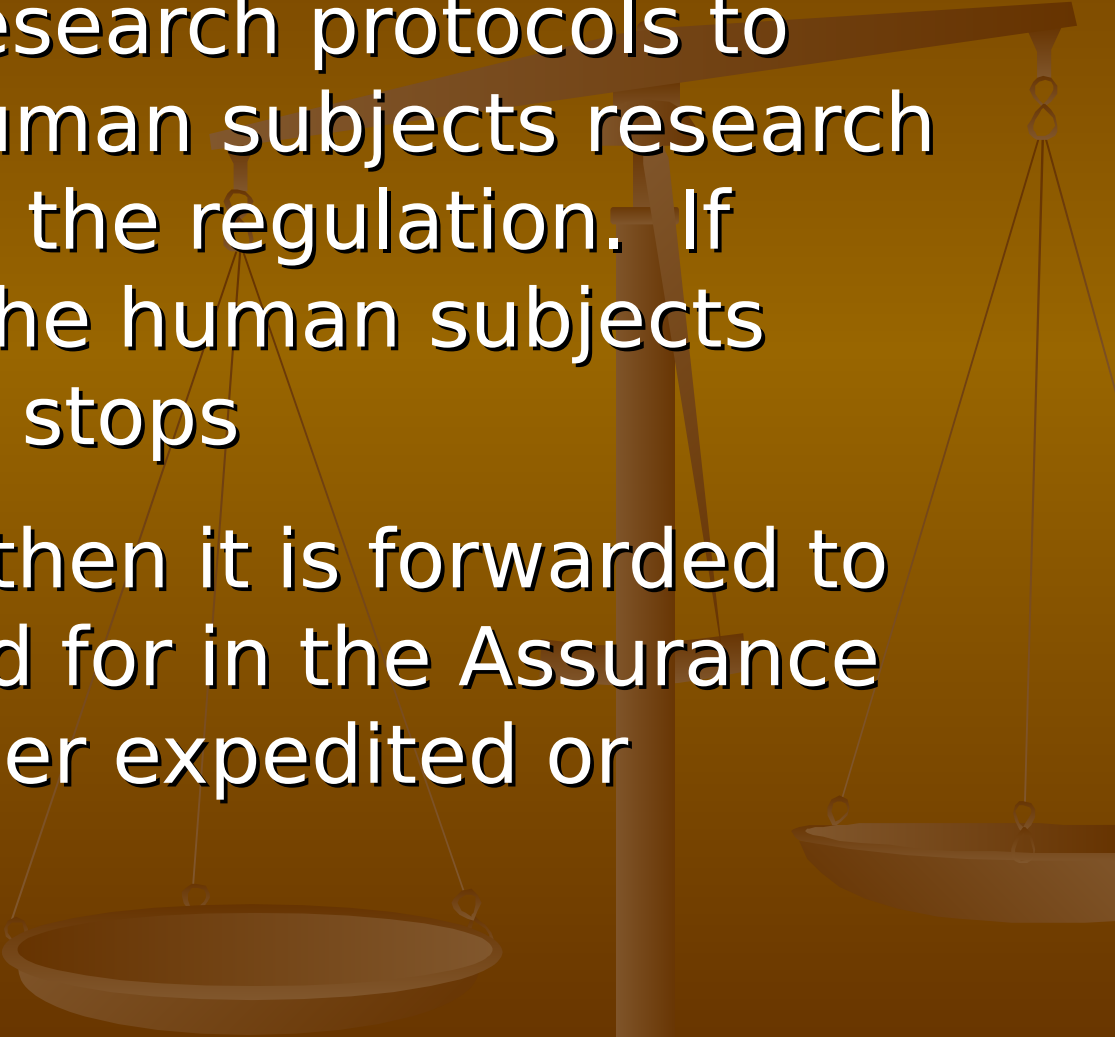


- Low risk and procedures within allowed category
- Minimal risk and procedures within allowed category
- Greater than minimal risk or procedures not allowed for expedited
- Potentially exempt from the regulation (EDO review)
- Expedited Review by one or more members of an IRB
- Review by a convened IRB

Institutional Review Board (IRB)

- A Board of at least five people which has been constituted as required by regulation
 - Appropriate expertise to evaluate the research
 - Scientific and non-scientific members
 - Community representatives
 - Diversity of race, gender and cultural background
- IRB may approve, disapprove or require modification to proposed research

Summary

- EDO reviews research protocols to determine if human subjects research is exempt from the regulation. If exempt, then the human subjects review process stops
 - If not exempt, then it is forwarded to an IRB provided for in the Assurance for review, either expedited or convened
- 

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